



IAPD Report

DAVID BRUCE HAMMOND

CRD# 235308

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

DAVID BRUCE HAMMOND (CRD# 235308)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **12/22/2025**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
B CETERA WEALTH SERVICES, LLC	CRD# 13572	07/05/1983
IA CETERA INVESTMENT ADVISERS LLC	CRD# 105644	06/29/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

FIRM	CRD#	LOCATION	REGISTRATION DATES
IA CETERA ADVISOR NETWORKS LLC	13572	EL SEGUNDO, CA	07/01/2002 - 06/29/2023
B HARTFORD EQUITY SALES COMPANY INC.	6604	HARTFORD, CT	07/18/1975 - 05/16/1989
B UNIVERSITY SECURITIES CORPORATION	6518	HARTFORD, CT	02/13/1978 - 07/05/1983

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **24** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**
Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096
Firm ID#: 105644

Regulator	Registration	Status	Date
IA Arizona	Investment Adviser Representative	Approved	06/29/2023
IA Texas	Investment Adviser Representative	Restricted Approval	06/29/2023

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
5993 E. GRANT RD
TUCSON, AZ 85712

Employment 2 of 2

Firm Name: **CETERA WEALTH SERVICES, LLC**
Main Address: 2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245
Firm ID#: 13572

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	07/05/1983
B FINRA	General Securities Representative	Approved	07/05/1983
B FINRA	Municipal Fund	Approved	03/10/2003
B Alabama	Agent	Approved	04/20/2020
B Arizona	Agent	Approved	03/23/1984



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	01/07/2004
B Colorado	Agent	Approved	12/12/2000
B Connecticut	Agent	Approved	08/31/2017
B Florida	Agent	Approved	12/17/2010
B Georgia	Agent	Approved	04/02/2008
B Hawaii	Agent	Approved	12/16/2008
B Illinois	Agent	Approved	01/11/2011
B Indiana	Agent	Approved	09/23/2008
B Maryland	Agent	Approved	03/15/2013
B Michigan	Agent	Approved	09/13/1996
B Montana	Agent	Approved	02/15/2011
B Nevada	Agent	Approved	12/15/2014
B New Mexico	Agent	Approved	01/02/2008
B New York	Agent	Approved	03/04/2010
B North Carolina	Agent	Approved	06/28/2018
B Ohio	Agent	Approved	12/05/2018
B Oklahoma	Agent	Approved	11/05/2015
B Oregon	Agent	Approved	10/23/1997
B South Dakota	Agent	Approved	06/27/2018



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	02/20/2008
B Virginia	Agent	Approved	02/23/2000
B Washington	Agent	Approved	09/26/2000

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
5993 E. GRANT RD
TUCSON, AZ 85712






Qualifications

PASSED INDUSTRY EXAMS




This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 3 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	01/02/2023
 Municipal Fund Securities Principal Examination (S51)	Series 51	03/07/2003
 Registered Principal Examination (S40)	Series 40	03/11/1978

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Registered Representative Examination (S1)	Series 1	07/30/1970

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/07/1983

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

This representative holds or did hold **2** professional designation(s) that may have been used to qualify as an Investment Advisor



representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	07/01/2002 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	EL SEGUNDO, CA
B	07/18/1975 - 05/16/1989	HARTFORD EQUITY SALES COMPANY INC.	CRD# 6604	HARTFORD, CT
B	02/13/1978 - 07/05/1983	UNIVERSITY SECURITIES CORPORATION	CRD# 6518	
B	11/12/1975 - 03/20/1978	INTERPACIFIC INVESTORS SERVICES, INC.	CRD# 4879	
B	08/07/1970 - 09/18/1975	OPPENHEIMER ASSET MANAGEMENT CORPORATION	CRD# 386	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
01/2013 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

1. NAME OF OTHER BUSINESS: DAVID B. HAMMOND
 INVESTMENT RELATED: NO
 ADDRESS: SAME AS REGISTERED
 NATURE OF BUSINESS: NOTARY
 START DATE: 09/26/1991
 POSITION/TITLE/RELATIONSHIP: NOTARY
 APX NUMBER OF HOURS PER WEEK: LESS THAN 1 HOUR
 APX NUMBER OF HOURS DURING TRADING HOURS: VARIES
 BRIEF DESCRIPTION OF DUTIES: NOTARIZE DOCUMENTS WHEN NECESSARY.

2. NAME OF OTHER BUSINESS: HAMMOND & ASSOCIATES;
 INVESTMENT RELATED: NO;
 ADDRESS: 5993 E GRANT ROAD, TUCSON, AZ 85712;
 NATURE OF BUSINESS: OFFICE BUILDING SIGNAGE;



Registration & Employment History



OTHER BUSINESS ACTIVITIES

START DATE: 09/1995;
POSITION/TITLE/RELATIONSHIP: OWNER;
APX NUMBER OF HOURS PER WEEK: 60;
APX NUMBER OF HOURS DURING TRADING HOURS: 60;
BRIEF DESCRIPTION OF DUTIES: NONE, SIGNAGE ON OFFICE BUILDING;

3.NAME OF OTHER BUSINESS: OLD FARM EXECUTIVE PARK;
INVESTMENT RELATED: NO;
ADDRESS: 5987-6151 E. GRANT RD TUCSON AZ 85712;
NATURE OF BUSINESS: HOMEOWNERS ASSOCIATION;
START DATE: 9/2010
POSITION/TITLE/RELATIONSHIP: SECRETARY;
APX NUMBER OF HOURS PER WEEK: 0;
APX NUMBER OF HOURS DURING TRADING HOURS: 0;
BRIEF DESCRIPTION OF DUTIES: ATTEND MEETINGS AND VOTE ON AGENDA ITEMS;

4. NAME OF OTHER BUSINESS: DKH PROPERTIES I LLC & DHK PROPERTIES II LLC;
INVESTMENT RELATED: NO;
ADDRESS: 5993 E. GRANT RD TUCSON AZ 85712;
NATURE OF BUSINESS: REAL ESTATE;
START DATE:11/2019
POSITION/TITLE/RELATIONSHIP: OWNER;
APX NUMBER OF HOURS PER WEEK: 0;
APX NUMBER OF HOURS DURING TRADING HOURS: 0;
BRIEF DESCRIPTION OF DUTIES: OWNER OCCUPIED OFFICE BUILDING AND LEASED RENTAL BUILDING;



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FINANCIAL NETWORK INVESTMENT CORPORATION
Allegations:	ALLOCATION NOT DONE IN A TIMELY MANNER.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$10,827.00

Customer Complaint Information

Date Complaint Received:	10/06/2002
Complaint Pending?	No
Status:	Settled
Status Date:	11/20/2002
Settlement Amount:	\$10,827.00
Individual Contribution Amount:	\$2,500.00



End of Report

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